

3624

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Kendrick W. Kan,

Bruce L. Horn

Title:

**Internet-Based System for Identification,
Measurement and Ranking of Investment
Portfolio Management, and Operation
of a Fund Supermarket, Including "Best
Investor" Managed Funds**

Serial No. 09/836,694

Filed: April 17, 2001

Attorney Docket No.

26592-004REG US

Group Art Unit: 3624

Examiner: Weisberger, Richard C.

Telephone: (703) 308-4408

Date of Mailing: January 13, 2003

Certification under 37 CFR 1.8

Mail Deposit Date: _____

I hereby certify that the correspondence is being deposited on the above stated date with the United States Post Office as **First Class Mail**, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Name: Jana L. Dulin

Signature: _____

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97

RECEIVED

JAN 22 2003

GROUP 3600

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant(s) wish to disclose the following information under rule 97:

REFERENCES

☒ The Applicant(s) wish to make of record the references listed on the attached Form PTO-1449. Copies of the listed references are attached, where required.

☐ The Applicant(s) wish to make of record the references cited in the copending related US Application Serial Number 09/610,164 filed July 5, 2000. Copies of the references are attached.

RELATED CASE(S)

☒ Applicant has filed the following related U.S. application:

This Application is based on the following three Provisional Applications, all filed by the same inventors under the same application title: 60/197,569 filed April 17, 2000; 60/231,058

filed September 8, 2000; and 60/261,885 filed January 16, 2001; and of the following Regular Applications filed by Bruce Horn and Blake Ward: System And Method For Generating Personalized Messages, USSN 09/610,164, filed July 5, 2000; System and Method For Determining and Tracking Performance Metrics For Individual Investors, USSN 09/610,160, filed July 5, 2000; and System And Method For Ranking Individual Investors And Filtering Commentary Based On Ranking, USSN 09/610,163, filed July 5, 2000.

CERTIFICATION

The undersigned certifies that:

☒ [X] No Office Action has been received in this case.

☐ [] The reference(s) disclosed herein were previously disclosed in the original priority application Specification as filed _____, or/and the relevance to the present application described therein.

☐ [] The _____ publications were cited in a communication from a foreign patent office in Applicant's _____ counterpart foreign application.

FEE PAYMENT

☒ [X] It is believed that no fee is due for the papers being filed herewith.

☐ [] Enclosed is a check in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith.

☐ [] Please charge Deposit Account No. 04-1699 in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.

☒ [X] If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 26592-004REG US in recording any fee charge made.

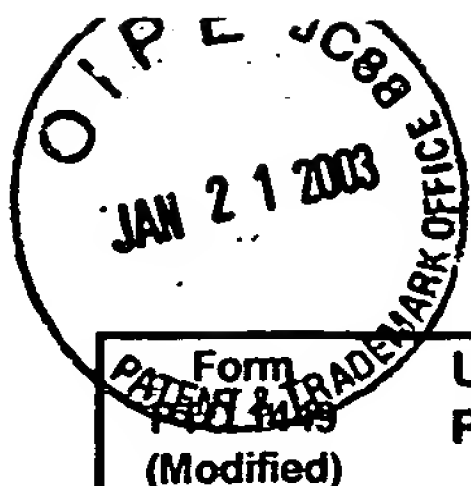
Encl: 1449
Copies of 2 References

DATE: January 13, 2003

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Respectfully submitted,

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Registration No. 24,067



SHEET 1 OF 1

Form 1449 (Modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)				ATTY. DOCKET NO. (1) 26592-004REG US		SERIAL NO. (1) 09/836,694	
				APPLICANT Kendrick W. Kam, et al.			
				FILING DATE (1) April 17, 2001		GROUP 3624	
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A	4,554,418	11/1985	Toy	179	2 DP	5/1983
	B	6,405,204 B1	6/2002	Baker	707	100	10/1999
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)							
EXAMINER					DATE CONSIDERED		
					GROUP 3600		
*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							